



Case No.

Applicant

8406/L1
Garber

Hon. Commissioner of Patents & Trademarks
Washington, D.C. 20231

Please acknowledge receipt of the below-identified

Transmittal Letter (x2); Petition and Fee (x2) With Filing Fee
(\$55.00) and Submission Of Corrected Drawings With Three
Sheets of Corrected Drawings.

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By: Jonathan E. Retsky - Reg. No. 34,415

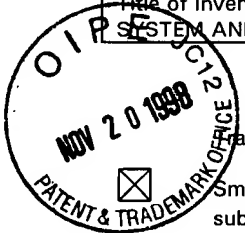
CDN 2762

TRANSMITTAL LETTER			Case No. 8406/4
Serial No. 08/868,200	Filing Date June 3, 1997	Examiner J. Patel	Group Art Unit 2762
Inventor(s) Howard B. Garber			
Title of Invention SYSTEM AND METHOD FOR TRADING HAVING A PRINCIPAL MARKET MAKER			

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Group 2700



TO THE ASSISTANT COMMISSIONER FOR PATENTS

Transmitted herewith is Amendment Under 37 CFR 1.115.

☒ Small entity status of this application under 37 CFR § 1.27 has been established by verified statement previously submitted.

☐ A verified statement to establish small entity status under 37 CFR §§ 1.9 and 1.27 is enclosed.

☐ Petition for a _____ month extension of time.

☐ No additional fee is required.

☐ The fee has been calculated as shown below:

	Claims Remaining After Amendment		Highest No. Previously Paid For	Present Extra
Total		Minus		
Indep.		Minus		
First Presentation of Multiple Dep. Claim				

Small Entity	
Rate	Add'l Fee
x \$11 =	
x \$41 =	
+ \$135 =	
total add'l fee	\$

Other Than Small Entity	
Rate	Add'l Fee
x \$22 =	
x \$82 =	
+ \$270 =	
total add'l fee	\$

☐ Please charge Deposit Account No. 23-1925 (BRINKS HOFER GILSON & LIONE) in the amount of \$_____. A duplicate copy of this sheet is enclosed.

☐ A check in the amount of \$_____ to cover the filing fee is enclosed.

☒ The Assistant Commissioner is hereby authorized to charge payment of any additional filing fees required under 37 CFR § 1.16 and any patent application processing fees under 37 CFR § 1.17 associated with this communication or credit any overpayment to Deposit Account No. 23-1925. A duplicate copy of this sheet is enclosed.

☒ I hereby petition under 37 CFR § 1.136(a) for any extension of time required to ensure that this paper is timely filed. Please charge any associated fees which have not otherwise been paid to Deposit Account No. 23-1925. A duplicate copy of this sheet is enclosed.

Respectfully submitted,

Jonathan E. Retsky
Registration No. 34,415
Attorney for Applicant

BRINKS HOFER GILSON & LIONE
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(312) 321-4200

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to: Assistant Commissioner for Patents, Washington, D.C. 20231, on November 17, 1998.

Date: 11/17/98 Signature: